

APPENDIX D

ECP MANAGEMENT GUIDE

QUESTIONS THIS APPENDIX WILL ANSWER?

	Para.
1. Why are effective communications important to the ECP Process?	D.1, D.2
2. What are the information needs for an effective coordinated process?	D.3, Table D.1, D-2
3. What should be in a Request for ECP? An ECP?	D.3, Tables D-3, D-4
4. What can be accomplished at Coordination meeting?	D.3, Table D-5

D.1 Scope.

This guide outlines recommended communications between the Government and Contractor for the timely request, preparation and approval of ECP's. It is meant to be used by the Government Program Managers, their teams, and their counterparts in industry as an aid to minimizing the overall costs and time required for initiation and approval of formal ECPs. Use of the guide can avoid the mistakes, omissions and ECP revisions that are frequently experienced when the expectations, needs and plans of both the Government and Contractor are poorly coordinated. **NOTE:** When using this guide, particularly in a competitive environment, it is essential that the procurement contracting officer (PCO) be the lead participant when making first contact with the contractor(s) to ensure that neither the letter nor the spirit of the Federal Acquisition Regulations (FAR) or Defense Federal Acquisition Regulations (DFAR) are violated. It is also necessary that the PCO be kept informed as issues develop.

D.2 Principles and Concepts

Effective communication for a task requires that each party precisely understand what the other party (or parties) expect to accomplish as an end objective. Expectations of all parties are seldom the same. **Figure D-1** lists typical expectations of both the Government and Contractor for each of the three steps involved in obtaining and approving an ECP. **[Details: Section 4, Figs. 4-1 through 4-4]**

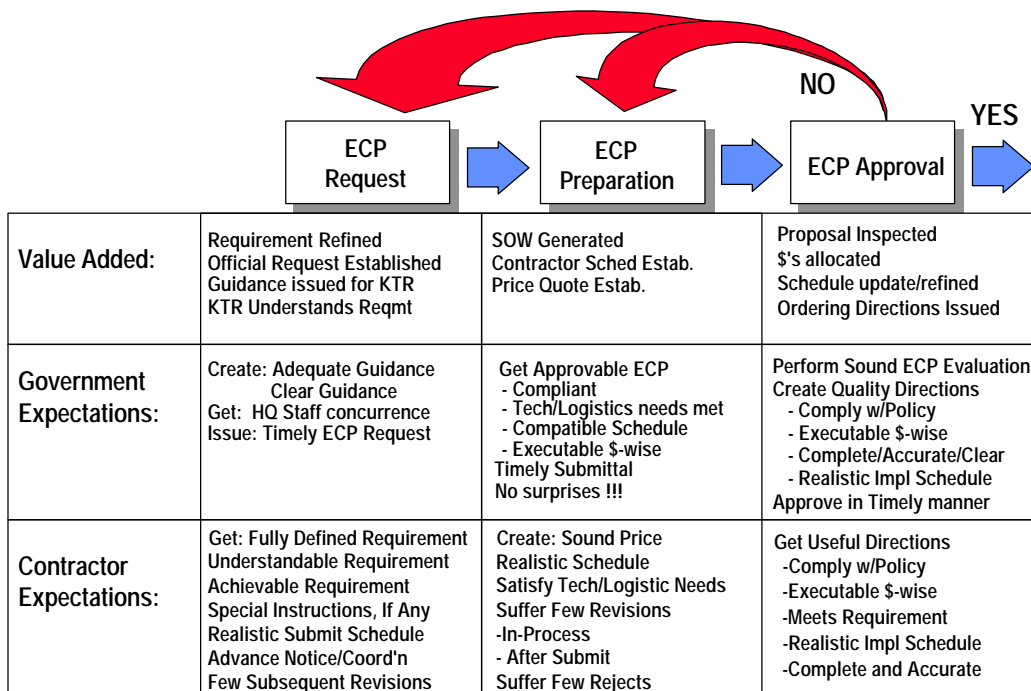


Figure D-1. Government and Contractor Expectations
in a Well-Managed ECP Process

One means of satisfying the informal communication requirements is by means of frequent meetings. For maximum effectiveness, such meeting should be well planned, highly structured and held frequently enough to ensure exchange of useful information. Use of video teleconference (VTC) facilities, vice personnel travel, is encouraged whenever possible to maximize attendance and minimize costs. Implementation of such regularly scheduled meetings can reduce both the time and costs required for ECP preparation and approval.

D.3 ECP Management Activity Guides.

Activity guides **(Tables D-1 and D-2)** list the communication necessary to ensure that the government and contractor expectations of the previous section are satisfied in an efficient and effective manner. **Table D-1** relates to the three portions of the ECP processing cycle. The time (durations such as “Four month before....”) cited in **Table D-1** are approximate; they are provided as examples only. Appropriate time spans for a given product or commodity type will vary considerably based on the nature and complexity of the product and the program.

Table D-2 outlines a meeting. between the Government and contractor. Suggested attendees, an agenda and and a check list are provided to to assist in carrying out the meeting.

Check lists are provided in

- **Table D-3, Checklist A** to assist in preparing written request for ECPs
- **Table D-4, Checklist B** to assist in preparing fully compliant ECPs and
- **Table D-5, Checklist C** to assist in preparing for a coordination meeting..

Activity Guide: Table D-1. ECP Coordination and Communication at a Glance

ECP Request Phase	ECP Preparation Phase	ECP Approval Phase
Four Months Prior to ECP Request <u>Government informally advise contractor of:</u> <ul style="list-style-type: none"> General description of desired change <ul style="list-style-type: none"> Function Purpose Any anticipated: <ul style="list-style-type: none"> ✓ Key PRF Spec changes ✓ Key warranty changes Desired: <ul style="list-style-type: none"> ECP Submit Date Forward Fit Effectivity Retrofit Effectivity Delivery Schedule Planned Installer Anticipated Level of Install Program/Cost-Profile Constraints Any Unusual: <ul style="list-style-type: none"> Spares Requirements Data Requirements (New or Revised) Training System Requirements Interim Support (Interim Spares, O/I/D Level Spares) Any Plans to Furnish: <ul style="list-style-type: none"> GFE/GFI Government Facilities/Personnel FMS/Joint-Services Requirements Anticipated Release Date for ECP Request 	Within Two Weeks After Receipt of ECP Request <u>Contractor informally advises government of:</u> <ul style="list-style-type: none"> Receipt of Request (Start date of preparation cycle) Estimated ECP submission date Any noted problems or deficiencies with request 	Within One Month After Receipt of ECP <u>Government informally advises Contractor and DCMC of:</u> <ul style="list-style-type: none"> Receipt of ECP Status of Decision memo Availability of Funding
	2nd Month after Receipt of ECP Request (and every 2 months) <u>Contractor informally advises government of:</u> <ul style="list-style-type: none"> General approach being taken (Draft SOW) General preparation status of SOW, Pricing, Vendor Interface, Other List of Acquisition Logistics items being addressed: <ul style="list-style-type: none"> LSAs/Maintenance Plan Tech Manuals: <ul style="list-style-type: none"> ✓ Operator ✓ Maintenance ✓ Trainers Interim Support <ul style="list-style-type: none"> ✓ Interim Spares ✓ O/I/D Level Spares Spares/Repair Parts/SML ? Training Trainers & Support for Trainers Support Equipment / Software <ul style="list-style-type: none"> ✓ Development ✓ Production ✓ Logistics ✓ Spare/Repair Parts Packaging, Handling, Shipping Intended Data deliverables Need for Govt Facilities, Personnel, GFE or GFI 	Monthly <u>Government informally advise Contractor and DCMC of:</u> <ul style="list-style-type: none"> ECP Decision memo Status ECP Approval Status <ul style="list-style-type: none"> Engineering Acquisition Logistics Other Estimated CCB Approval Date Availability of Funding Anticipated Contractual Authorization Date <u>Contractor advise Government of:</u> <ul style="list-style-type: none"> Any change in validity of submitted (active) ECPs
Two Months Prior to ECP Request <u>Government informally advise Contractor of:</u> <ul style="list-style-type: none"> Any updates to above <u>Contractor informally advises Government of:</u> <ul style="list-style-type: none"> General acceptability of planned ECP Request Any issues with plans or ECP submittal schedule 	Within 3 Working Days After Discovery of Problem <ul style="list-style-type: none"> Govt PM informally advise Contractor of any Reqmt change Contractor PM informally advise Govt of significant deficiency/issue 	
Upon Release of ECP Request <u>Government provides Contractor:</u> <ul style="list-style-type: none"> Official ECP Request <ul style="list-style-type: none"> Compliant with Checklist A [Table D-3] Signed by Program Manager designated official 	Upon Release of ECP Request <u>Contractor provides Government:</u> <ul style="list-style-type: none"> Official ECP Request <ul style="list-style-type: none"> Compliant with Checklist B [Table D-4] 	

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Activity Guide: Table D-2. Government/Contractor ECP Coordination Meetings
A Key to Effective Communication and Coordination

SCOPE
<p>Suggested Frequency: Every Other Month (6 Times Per Year) Suggested Medium: Video Teleconference or Face to Face</p>
ATTENDEES: (A Typical Example)
<p><u>Contractor:</u> PM Reps (Type/ Model Manager; Configuration Manager) Program Engineering Manager Program Logistics Manager Proposal Manager Contracts Manager (As Required) Pricing Manager (As Required)</p> <p><u>Government:</u> PM CM Manager PM Business/Financial Manager Engineering Manager (COG Engr) Logistic Manager (AMPL) Assist. Program Manager for Training Systems (APMTS) PCO ACO FMS/Joint-Services Rep Inventory Control Point (ICP) Rep Supply Support/Spare Manager GFE Manager</p>
AGENDA
<ol style="list-style-type: none"> 1. Review Forthcoming Requests for ECPs. 2. Review the Status of All ECPs in Preparation. 3. Review the Status of ECP Approval Actions and Funding Issues. 4. Review Need/Status for Detail Working Meetings.
OTHER
<p>Support System for Assigning/Tracking Subsequent Actions</p>

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**Activity Guide: Table D-3. Check List A - Request for an ECP
Readiness for Release (For Sole Source Class I ECPs)**

Item	Check ✓ if Adequately Addressed
General Description Of Desired Change	
Function	
Purpose	
Any Anticipated: Key Performance/Spec Changes	
Key Warranty Changes	
Interchangeability/Replaceability Issues	
Reliability & Maintainability/Life Cycle Cost Impact	
Desired: RFP Date	
ECP Submit Date	
Effectivity - Forward Fit	
Effectivity - Retrofit	
Delivery Schedule (Government Desired)	
Trainers/Training	
Support Equipment	
Logistics/Spares Support	
Packaging, Handling, Storage And Transportability (PHST)	
Shipping Containers	
Planned Installer	
Anticipated Level Of Install	
Program Constraints - (Scheduling Impacts.etc.)	
Any Unusual: Logistic/Spares Requirements	
Data Requirements (CDRLs)	
Vendor	
Interim Support	
Interim Spares	
O/I/D Level Spares	
Any Plans To Furnish: GFE/ GFI	
Government Facilities/Personnel	
Commonality And Interoperability	
FMS/Joint-Services Requirements	
Possible Tailoring Of Mil-Std Requirements	
Testing/Qualification Requirements (Fatigue, Etc.	
Manufacturing Requirements (Tooling, Etc.)	
Cost/No Cost (If Cost: Type, Desired Effectivity Of Pricing (i.e., 180 Day))	

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Activity Guide: Table D-4. Check List B - ECP Readiness for Submittal

Item	Check ✓ if Required		If Yes, Check ✓ if Provided		
	Yes	No	Description	Schedule	Cost
Engineering Design, Development & tests					
Nature of Change (Safety, etc.)					
Design					
Analyses					
Drawings (Production/Retrofit)					
Qualification					
Automatic Test Procedure & Equip					
R&M Analyses/Test					
Flight Test					
Trial Kit Install					
Other Testing/Field Evaluation					
Spec Changes: Weight			*		
Service Life			*		
Performance			*		
Interchangeability/ Replaceability			*		
Obsolescence			*		
Other			*		
Data Deliverables (CDRLS)					
Bailed/GFE Aircraft or other Equipment					
Other Equipments Affected (GFE Design, Second Source, Trainers.Etc)					
Tooling					
GFE/GFI					
Prod Incorporation (Recurring)					
Effectivity					
FMS					
Logistics Support (New & Retrofit)					
LSA/Maintenance Plan					
Support Material List					
Repair Parts					
Provisioning/(Design Change Notices)					
Tech Manuals					
Operator					
Maintenance					
Trainers					
Interim Support					
Interim Spares					
I/O/D Level Spares					
New Spares					
Training					
Trainers					
Support for Trainers					
Support Equip:SERD					
Nonrecurring Engineering					
Recurring (Prod/Retro)					
ILS (Trng, LSA, CETS)					

* Provide Specification Change Detail (Was/Is or Revision Annotation) in ECP

Activity Guide: Table D-4. Check List B - ECP Readiness for Submittal

Item	Check ✓ if Required		If Yes, Check ✓ if Provided		
	Yes	No	Description	Schedule	Cost
Spares					
Repair Parts					
Technical Directive					
Validation/Verification					
Packing, Handling, Storage and Transportability					
Shipping Containers					
Government Facilities/Personnel					
Retrofit:					
Tech Directive					
Validation					
Verification					
Kits for Basic Equipment					
MOD for Basic Equipment (Install)			♦		
Kits for Maintenance Trainers					
MOD of Maint. Trainers (Install)			♦		
Kits for OPS Trainers					
MOD of OPS Trainers (Install)			♦		
Kits for Spares					
MOD of Spares			♦		

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♦ Effectivity, Maintenance Level & Location

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Activity Guide: Table D-5. Check List C - ECP Management Meetings

Item	Check ✓ if Adequately Addressed
1. Review Forthcoming RFPs	
a. Identify all Requests for ECPs to be issued within 4 Months	
b. For each ECP	
• Anticipated Release Date for ECP Request	
• Review Check List A for each New ECP Request	
c. Update above information, if previously provided	
2. Review the Status of All ECP's in Preparation	
<u>Contractor</u>	
a. For each ECP Request received since last meeting informally advise Government of	
• Receipt date	
• Estimated date of ECP Submission	
• Any noted problems/deficiencies with request	
b. For each ECP in-work, informally advise Government of:	
• Progress in completing Checklist B	
c. Advise Government of any changes to information previously provided or any special term and/or conditions not previously identified	
<u>Government</u>	
a. Informally advise Contractor of any changes (i.e., funding or requirements) which may impact previously issued requests for ECPs	

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